

U. S. Department of Energy
Washington, D. C.

ORDER

DOE O 232.1

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Review Date: 09-25-97

SUBJECT: OCCURRENCE REPORTING AND PROCESSING
OF OPERATIONS INFORMATION

Chg 1: 10-26-95
Chg 2: 08-12-96

1. **OBJECTIVES.** It is Department of Energy (DOE) policy to ensure that the Office of the Secretary and both DOE and DOE contractor line management are kept fully informed on a timely basis of events that could adversely affect national security or the safeguards and security interests of DOE; the health and safety of the public or the workers; the environments the intended purpose of DOE facilities or the credibility of the Department. The following objectives are established in support of this policy.
 - a. To establish and maintain a system for reporting operations information related to DOE-owned or -operated facilities and processing that information to identify the root causes of Unusual, Off -Normal, and Emergency Occurrences and provide for appropriate corrective action.
 - b. To perform the following:
 - (1) Timely identification, categorization, notification, and reporting to DOE management of reportable occurrences at DOE-owned or-operated facilities.
 - (2) Review of reportable occurrences to assess the significance, root causes, generic implications, and the need for corrective actions.
 - (3) Timely evaluation and implementation of appropriate corrective actions.
 - (4) Dissemination of Occurrence Reports to DOE operations and facilities to prevent similar occurrences.
 - (5) Maintenance of a central DOE system for reporting, processing, and retrieving unclassified Occurrence Reports.

Vertical line denotes change.

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- (i) Operational procedural violations, including maintenance and administrative procedures, which have the potential to impact the safety, security, environmental or health performance or operation of a facility.
- (j) Discovery of a condition that leads the Facility Manager to limit facility operations due to the identification of a potential degradation of the authorization basis of a facility or process.
- (k) Discovery of a potential Unreviewed Safety Question that could affect the present or future operation of the facility.
- (l) Identification of actual or potential defective items, materials, or services, including defects identified by subcontractors and suppliers.
- (m) Unanticipated significant delay or cost in achieving programmatic objectives.
- (n) Loss or damage to property caused by DOE operations or loss or damage to DOE property.
- (o) Violation of a nuclear explosive standard or rule, or training related occurrences indicative of a hazard to a nuclear explosive.

5. RESPONSIBILITIES.

- a. Assistant Secretary for Environment, Safety and Health (EH-1)
 - (1) Develop, promulgate, and maintain policies to implement and sustain an effective Occurrence Reporting Program.
 - (2) Provide formal Departmental interpretation of the requirements of this Order.
 - (3) Develop, promulgate, and maintain guidance materials, and conduct workshops, as necessary, for implementing the requirements of this Order.

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